

**UNITED STATES BANKRUPTCY COURT  
SOUTHERN DISTRICT OF NEW YORK**

In re:

LEHMAN BROTHERS HOLDINGS, INC., *et al.*

Debtors.

X  
: Chapter 11  
:  
: Case No. 08-13555 (SCC)  
:  
: (Jointly Administered)  
:  
: Ref. Docket Nos. 54098, 54107,  
: 54392, 54577, 54584, 54585,  
: 54586, 54599  
X

**AFFIDAVIT OF SERVICE**

STATE OF NEW YORK )  
                          )  
                          ) ss.:  
COUNTY OF NEW YORK )

FORREST KUFFER, being duly sworn, deposes and says:

1. I am employed as a Noticing Coordinator by Epiq Bankruptcy Solutions, LLC, located at 777 Third Avenue, New York, New York 10017. I am over the age of eighteen years and am not a party to the above-captioned action.
2. On January 27, 2017, I caused to be served the “Notice: Filing of Transfer of Claim Pursuant to Federal Rule of Bankruptcy Procedure 3001(e)(2) or (4),” dated January 27, 2017, a sample of which is annexed hereto as Exhibit A, by causing true and correct copies to be enclosed securely in separate postage pre-paid envelopes and delivered via first class mail to those parties listed on the annexed Exhibit B.
3. All envelopes utilized in the service of the foregoing contained the following legend: “LEGAL DOCUMENTS ENCLOSED. PLEASE DIRECT TO THE ATTENTION OF ADDRESSEE, PRESIDENT OR LEGAL DEPARTMENT.”

/s/ Forrest Kuffer  
Forrest Kuffer

Sworn to before me this  
27<sup>th</sup> day of January, 2017

/s/ Regina Amporfro

Notary Public, State of New York  
No. 01AM6064508  
Qualified in Bronx County  
Commission Expires September 24, 2017

## **EXHIBIT A**

In re

LEHMAN BROTHERS HOLDINGS INC., et al.,  
Debtors.

Chapter 11 Case No.  
08-13555 (SCC)  
(Jointly Administered)

**NOTICE: FILING OF TRANSFER OF CLAIM PURSUANT TO FEDERAL RULE OF  
BANKRUPTCY PROCEDURE 3001(e)(2) or (4)**

Note: For Purposes of this form, **transferor** refers to the claimant who is selling or otherwise assigning its claim. While **transferee** refers to the party who is purchasing or otherwise being assigned the claim.

To:

MORGAN STANLEY SENIOR FUNDING, INC.  
TRANSFEROR: CITIGROUP FINANCIAL PRODUCTS, INC.  
ATTN: JOHN RAGUSA  
1585 BROADWAY - 2ND FLOOR  
NEW YORK, NY 10036

Please note that your claim # 20121-96 in the above referenced case and in the amount of  
\$11,061,169.38 allowed at \$5,988,888.97 has been transferred (unless previously expunged by court order)

BAR(23) MAILID \*\*\* 000116005316 \*\*\* LBH TRFNTC (MERGE2, TXNUM2) 4000177547



EMPYREAN INVESTMENTS, LLC  
TRANSFEROR: MORGAN STANLEY SENIOR FUNDING, INC.  
ATTN: STERLING HATHAWAY  
10250 CONSTELLATION BLVD, SUITE 2950  
LOS ANGELES, CA 90067

No action is required if you do not object to the transfer of your claim. However **IF YOU OBJECT TO THE TRANSFER OF YOUR CLAIM, YOU MUST, WITHIN 21 DAYS OF THE DATE OF THIS NOTICE, FILE A WRITTEN OBJECTION TO THE TRANSFER WITH:**

UNITED STATES BANKRUPTCY COURT  
Southern District of New York  
One Bowling Green  
New York, NY 10004-1408

Send a copy of your objection to the transferee. Refer to INTERNAL CONTROL NUMBER 54585 in your objection. If you file an objection, a hearing will be scheduled. **IF YOUR OBJECTION IS NOT TIMELY FILED, THE TRANSFeree WILL BE SUBSTITUTED ON OUR RECORDS AS THE CLAIMANT.**

Date: 01/27/2017

Vito Genna, Clerk of Court

/s/ Lauren Rodriguez

EPIQ BANKRUPTCY SOLUTIONS, LLC

as claims agent for the debtor(s).

FOR EBS USE ONLY: This notice was mailed to the transferor, transferee, and debtor(s) counsel by first class mail, postage prepaid on January 27, 2017.

**EXHIBIT B**

**Claim Name****Address Information**

AEK BANK 1826	TRANSFEROR: UBS AG, C/O FINANZ-LOGISTIK AG, ROSENBERGSTRASSE 16, ST. GALLEN 9004 SWITZERLAND
BEATUS BEHEER BV	TRANSFEROR: VAN DER HEIJDEN'S BEHEER B.V., DORPSTRAAT 15, GEFFEN 5386 AK NETHERLANDS
COUTTS & CO AG	F/K/A RBS COUTTS BANK AG, LERCHENSTRASSE 18, 8045 ZURICH SWITZERLAND
COUTTS & CO AG	F/K/A RBS COUTTS BANK AG, LERCHENSTRASSE 18, 8045 ZURICH SWITZERLAND
COUTTS & CO AG	F/K/A RBS COUTTS BANK AG, LERCHENSTRASSE 18, 8045 ZURICH SWITZERLAND
COUTTS & CO AG	F/K/A RBS COUTTS BANK AG, LERCHENSTRASSE 18, 8045 ZURICH SWITZERLAND
COUTTS & CO AG	F/K/A RBS COUTTS BANK AG, LERCHENSTRASSE 18, 8045 ZURICH SWITZERLAND
COUTTS & CO AG	F/K/A RBS COUTTS BANK AG, LERCHENSTRASSE 18, 8045 ZURICH SWITZERLAND
EMPYREAN INVESTMENTS, LLC	TRANSFEROR: MORGAN STANLEY SENIOR FUNDING, INC., ATTN: STERLING HATHAWAY, 10250 CONSTELLATION BLVD, SUITE 2950, LOS ANGELES, CA 90067
EMPYREAN INVESTMENTS, LLC	TRANSFEROR: MORGAN STANLEY SENIOR FUNDING, INC., ATTN: STERLING HATHAWAY, 10250 CONSTELLATION BLVD, SUITE 2950, LOS ANGELES, CA 90067
EMPYREAN LHMN SPV, LP	TRANSFEROR: MORGAN STANLEY SENIOR FUNDING, INC., ATTN: STERLING HATHAWAY, 10250 CONSTELLATION BLVD., STE 2950, LOS ANGELES, CA 90067
EMPYREAN LHMN SPV, LP	TRANSFEROR: MORGAN STANLEY SENIOR FUNDING, INC., ATTN: STERLING HATHAWAY, 10250 CONSTELLATION BLVD., STE 2950, LOST ANGELES, CA 90067
GOLDMAN SACHS & CO.	TRANSFEROR: JORVIK MULTI-STRATEGY MASTER FUND, L.P., ATTN: THIERRY C. LE JOUAN, 30 HUDSON STREET, 4TH, JERSEY CITY, NJ 07302
JORVIK MULTI-STRATEGY MASTER FUND, L.P.	TRANSFEROR: YORK INVESTMENT MASTER FUND, L.P., ATTN: MARGARET MAURO, 767 FIFTH AVENUE, 17TH FLOOR, NEW YORK, NY 10153
MORGAN STANLEY SENIOR FUNDING, INC.	TRANSFEROR: CITIGROUP FINANCIAL PRODUCTS, INC., ATTN: JOHN RAGUSA, 1585 BROADWAY - 2ND FLOOR, NEW YORK, NY 10036
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UBS AG	BAHNHOFSTR. 45, ATTN: HUGO KOLLER, ZURICH 8001 SWITZERLAND
UBS AG	ATTN: HUGO KOLLER, OQ9C/05GC, P.O. BOX, ZURICH 8098 SWITZERLAND
UBS AG	BAHNHOFSTR. 45, ATTN: HUGO KOLLER, ZURICH 8001 SWITZERLAND
UBS AG	BAHNHOFSTR. 45, ATTN: HUGO KOLLER, ZURICH 8001 SWITZERLAND
UBS AG	ATTN: HUGO KOLLER, OQ9C/05GC, P.O. BOX, ZURICH 8098 SWITZERLAND
UBS AG	BAHNHOFSTR. 45, ATTN: HUGO KOLLER, ZURICH 8001 SWITZERLAND
UBS AG	BAHNHOFSTR. 45, ATTN: HUGO KOLLER, ZURICH 8001 SWITZERLAND
UNION BANCAIRE PRIVEE, HONG KONG	TRANSFEROR: COUTTS & CO AG, LEVEL 26 AIA CENTRAL, 1 CONNAUGHT ROAD, CENTRAL HONG KONG HONG KONG
UNION BANCAIRE PRIVEE, SINGAPORE	TRANSFEROR: COUTTS & CO AG, LEVEL 24, ONE RAFFLES QUAY, SOUTH TOWER, SINGAPOUR 04583 SINGAPORE
VAN DER HEIJDEN'S BEHEER B.V.	P.A. VAN DER HEIJDEN, KLOOSTERSTRAAT 29, GEFFEN 5386 AR NETHERLANDS

**Total Creditor Count 29**